

**STATE OF NEW HAMPSHIRE
DEPARTMENT OF STATE
BUREAU OF SECURITIES REGULATION
CONCORD, NEW HAMPSHIRE**

IN THE MATTER OF:)
)
David A. Hunter)
) **COM2020-00012**
Respondent)
_____)

INTERIM CONSENT ORDER

For the purpose of addressing immediate concerns raised by the State of New Hampshire, Department of State, Bureau of Securities Regulation (hereinafter referred to as the "Bureau"), the above listed Respondent has submitted an offer to enter into this Interim Consent Order with the Bureau. David A. Hunter has reviewed the terms of this Interim Consent Order and wishes to cooperate with the Bureau in its inquiry while also protecting the interests of all other entities and persons affected by the subject matter of this investigation. This Interim Consent Order shall have the effect of starting the administrative process. Accordingly, the Respondent, without admitting or denying the following facts or allegations, does hereby consent to the following Interim Consent Order:

FACTS

1. David A. Hunter ("DAH") (CRD #2419972) is a New Hampshire resident who currently resides in Bedford, New Hampshire. DAH has been in the securities

industry in the past but is not currently licensed. DAH has not been licensed since 2013.

2. The Bureau represents that it has evidence indicating that DAH from 2015 to the present recommended the purchase and sale of securities for a fee in the accounts of others while unlicensed to do so.
3. The Bureau is concerned that DAH will continue to recommend the purchase and sale of securities for the accounts of others or affect transactions while unlicensed and without having any required statutory compliance procedures in place.

UNDERTAKINGS

1. Within the undertakings of this Interim Consent Order, Respondent agrees to waive his right to a hearing pursuant to N.H. RSA 421-B with respect to this Interim Consent Order.
2. This Interim Consent Order constitutes an Order of the Bureau for the sole purpose of addressing the Bureau's interim and immediate concerns regarding the unlicensed activity of DAH and does not fully resolve the Bureau's pending investigation of Respondent, who is entering this Interim Consent Order for the purpose of promptly and expeditiously remedying the immediate concerns of the Bureau in regard to the pending investigation. Respondent acknowledges that this Interim Consent Order does not waive, in any respect, the Bureau's jurisdiction, authority and right to bring further proceedings under N.H. RSA 421-B as it deems necessary or to seek further penalties against DAH. Respondent's agreement to enter this Interim Consent Order does not represent a concession by Respondent of any facts, conclusions of law, either under federal or state law, not explicitly waived.
3. Respondent agrees to cease and desist from the recommendation of the purchase or sale of any security or affecting any securities transaction for the accounts of others.

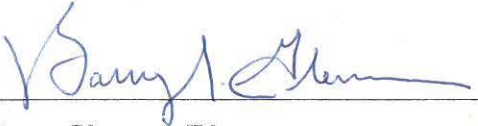
4. Respondent agrees not to act as an investment adviser to any of his clients or any other person.
5. Respondent agrees to inform all of his clients in writing by 7/27/2020 that Respondent will be unable to fulfill any investment advisory duties going forward and that his clients wanting investment advice obtain investment advice from a licensed investment advisor of their choice. A draft copy of this letter shall be provided to the Bureau by 7/20/2020 and shall be acceptable to the Bureau. The letter shall be sent to each client return receipt requested with a copy to the Bureau, as well as a copy of the mail receipt signed by the client. Should the Respondent not be able to obtain a mail receipt by the client he shall notify the Bureau by 8/3/2020.
6. The Interim Consent Order will remain in place until further order by the Bureau. DAH agrees this Interim Consent Order constitutes a cease and desist order under N.H. RSA 421-B:6-604 and any material violation of this order would constitute a class B felony under N.H. RSA 421-B:5-508. Either party may motion to lift this Interim Consent Order for any reason.

Based on the foregoing, the Bureau deems it appropriate and in the public interest to accept and enter into this Interim Consent Order. **THEREFORE, IT IS HEREBY ORDERED THAT:**

1. Respondent cease and desist from recommending the purchase or sale of any security to any other person, affect any transaction of any security for any account except his own or to engage in the offer, purchase or sale of any security for any account except his own.
2. Respondent cease and desist from acting as an investment adviser to any person.
3. Respondent comply with all undertakings agreed to above.

So Ordered.

Entered this 17th day of July, 2020.



Barry Glennon, Director

Entered this 17th day of July, 2020.



David A. Hunter